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| APPLICATION NO. | FILING DATE | FIRST NAMED INVENTOR | ATTORNEY DOCKET NO.   | CONFIRMATION NO. |
|-----------------|-------------|----------------------|-----------------------|------------------|
| 10/733,836      | 12/11/2003  | Herman Rodriguez     | AUS920030904US1(4026) | 2190             |

45557 7590 03/29/2007  
IBM CORPORATION (JSS)  
C/O SCHUBERT OSTERRIEDER & NICKELSON PLLC  
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| EXAMINER |
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GARG, YOGESH C

|          |              |
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| ART UNIT | PAPER NUMBER |
|----------|--------------|

3625

|           |               |
|-----------|---------------|
| MAIL DATE | DELIVERY MODE |
|-----------|---------------|

03/29/2007

PAPER

Please find below and/or attached an Office communication concerning this application or proceeding.

|                          |                        |  |                     |  |
|--------------------------|------------------------|--|---------------------|--|
| <b>Interview Summary</b> | <b>Application No.</b> |  | <b>Applicant(s)</b> |  |
|                          | 10/733,836             |  | RODRIGUEZ ET AL.    |  |
|                          | <b>Examiner</b>        |  | <b>Art Unit</b>     |  |
|                          | Yogesh C. Garg         |  | 3625                |  |

All participants (applicant, applicant's representative, PTO personnel):

- (1) Yogesh C. Garg. (3) \_\_\_\_\_  
 (2) Mr. Jeffrey S. Schubert. (4) \_\_\_\_\_

Date of Interview: 27 March 2007.

Type: a) ☒ Telephonic b) ☐ Video Conference  
 c) ☐ Personal [copy given to: 1) ☐ applicant 2) ☐ applicant's representative]

Exhibit shown or demonstration conducted: d) ☐ Yes e) ☐ No.  
 If Yes, brief description: \_\_\_\_\_

Claim(s) discussed: 1, 15 and 28.

Identification of prior art discussed: \_\_\_\_\_

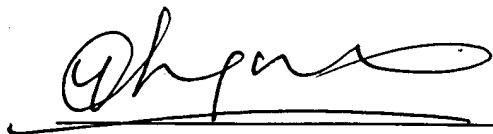
Agreement with respect to the claims f) ☐ was reached. g) ☒ was not reached. h) ☐ N/A.

Substance of Interview including description of the general nature of what was agreed to if an agreement was reached, or any other comments: The applicant discussed proposed amendmnetes to claims 1, 15 and 28. No agreement was reached as regards to Prior art. The examiner assured the applicant that on receipt of a formal amendment he would give full consideration to these amendments which raise new issues that would require further search and/or consideration.

(A fuller description, if necessary, and a copy of the amendments which the examiner agreed would render the claims allowable, if available, must be attached. Also, where no copy of the amendments that would render the claims allowable is available, a summary thereof must be attached.)

THE FORMAL WRITTEN REPLY TO THE LAST OFFICE ACTION MUST INCLUDE THE SUBSTANCE OF THE INTERVIEW. (See MPEP Section 713.04). If a reply to the last Office action has already been filed, APPLICANT IS GIVEN A NON-EXTENDABLE PERIOD OF THE LONGER OF ONE MONTH OR THIRTY DAYS FROM THIS INTERVIEW DATE, OR THE MAILING DATE OF THIS INTERVIEW SUMMARY FORM, WHICHEVER IS LATER, TO FILE A STATEMENT OF THE SUBSTANCE OF THE INTERVIEW. See Summary of Record of Interview requirements on reverse side or on attached sheet.

Examiner Note: You must sign this form unless it is an Attachment to a signed Office action.

  
 Examiner's signature, if required

## Summary of Record of Interview Requirements

### Manual of Patent Examining Procedure (MPEP), Section 713.04, Substance of Interview Must be Made of Record

A complete written statement as to the substance of any face-to-face, video conference, or telephone interview with regard to an application must be made of record in the application whether or not an agreement with the examiner was reached at the interview.

#### Title 37 Code of Federal Regulations (CFR) § 1.133 Interviews

##### Paragraph (b)

In every instance where reconsideration is requested in view of an interview with an examiner, a complete written statement of the reasons presented at the interview as warranting favorable action must be filed by the applicant. An interview does not remove the necessity for reply to Office action as specified in §§ 1.111, 1.135. (35 U.S.C. 132)

#### 37 CFR §1.2 Business to be transacted in writing.

All business with the Patent or Trademark Office should be transacted in writing. The personal attendance of applicants or their attorneys or agents at the Patent and Trademark Office is unnecessary. The action of the Patent and Trademark Office will be based exclusively on the written record in the Office. No attention will be paid to any alleged oral promise, stipulation, or understanding in relation to which there is disagreement or doubt.

The action of the Patent and Trademark Office cannot be based exclusively on the written record in the Office if that record is itself incomplete through the failure to record the substance of interviews.

It is the responsibility of the applicant or the attorney or agent to make the substance of an interview of record in the application file, unless the examiner indicates he or she will do so. It is the examiner's responsibility to see that such a record is made and to correct material inaccuracies which bear directly on the question of patentability.

Examiners must complete an Interview Summary Form for each interview held where a matter of substance has been discussed during the interview by checking the appropriate boxes and filling in the blanks. Discussions regarding only procedural matters, directed solely to restriction requirements for which interview recordation is otherwise provided for in Section 812.01 of the Manual of Patent Examining Procedure, or pointing out typographical errors or unreadable script in Office actions or the like, are excluded from the interview recordation procedures below. Where the substance of an interview is completely recorded in an Examiners Amendment, no separate Interview Summary Record is required.

The Interview Summary Form shall be given an appropriate Paper No., placed in the right hand portion of the file, and listed on the "Contents" section of the file wrapper. In a personal interview, a duplicate of the Form is given to the applicant (or attorney or agent) at the conclusion of the interview. In the case of a telephone or video-conference interview, the copy is mailed to the applicant's correspondence address either with or prior to the next official communication. If additional correspondence from the examiner is not likely before an allowance or if other circumstances dictate, the Form should be mailed promptly after the interview rather than with the next official communication.

The Form provides for recordation of the following information:

- Application Number (Series Code and Serial Number)
- Name of applicant
- Name of examiner
- Date of interview
- Type of interview (telephonic, video-conference, or personal)
- Name of participant(s) (applicant, attorney or agent, examiner, other PTO personnel, etc.)
- An indication whether or not an exhibit was shown or a demonstration conducted
- An identification of the specific prior art discussed
- An indication whether an agreement was reached and if so, a description of the general nature of the agreement (may be by attachment of a copy of amendments or claims agreed as being allowable). Note: Agreement as to allowability is tentative and does not restrict further action by the examiner to the contrary.
- The signature of the examiner who conducted the interview (if Form is not an attachment to a signed Office action)

It is desirable that the examiner orally remind the applicant of his or her obligation to record the substance of the interview of each case. It should be noted, however, that the Interview Summary Form will not normally be considered a complete and proper recordation of the interview unless it includes, or is supplemented by the applicant or the examiner to include, all of the applicable items required below concerning the substance of the interview.

A complete and proper recordation of the substance of any interview should include at least the following applicable items:

- 1) A brief description of the nature of any exhibit shown or any demonstration conducted,
- 2) an identification of the claims discussed,
- 3) an identification of the specific prior art discussed,
- 4) an identification of the principal proposed amendments of a substantive nature discussed, unless these are already described on the Interview Summary Form completed by the Examiner,
- 5) a brief identification of the general thrust of the principal arguments presented to the examiner,  
(The identification of arguments need not be lengthy or elaborate. A verbatim or highly detailed description of the arguments is not required. The identification of the arguments is sufficient if the general nature or thrust of the principal arguments made to the examiner can be understood in the context of the application file. Of course, the applicant may desire to emphasize and fully describe those arguments which he or she feels were or might be persuasive to the examiner.)
- 6) a general indication of any other pertinent matters discussed, and
- 7) if appropriate, the general results or outcome of the interview unless already described in the Interview Summary Form completed by the examiner.

Examiners are expected to carefully review the applicant's record of the substance of an interview. If the record is not complete and accurate, the examiner will give the applicant an extendable one month time period to correct the record.

#### Examiner to Check for Accuracy

If the claims are allowable for other reasons of record, the examiner should send a letter setting forth the examiner's version of the statement attributed to him or her. If the record is complete and accurate, the examiner should place the indication, "Interview Record OK" on the paper recording the substance of the interview along with the date and the examiner's initials.

Approved for use through 03/31/2007. OMB 0651-0031  
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

### Applicant Initiated Interview Request Form

Application No.: 10/733,836 First Named Applicant: Herman Rodriguez  
Examiner: Garg, Yogesh C. Art Unit: 3625 Status of Application: Non-Final Action

#### Tentative Participants:

(1) Jeffrey S Schubert (2) Yogesh C. Garg  
(3) \_\_\_\_\_ (4) \_\_\_\_\_

Proposed Date of Interview: March 20, 2007 Proposed Time: 11 AM ET (AM/PM)

#### Type of Interview Requested:

(1) ☒ Telephonic (2) ☐ Personal (3) ☐ Video Conference

Exhibit To Be Shown or Demonstrated: ☒ YES ☐ NO

If yes, provide brief description: prospective claim Amendments

### Issues To Be Discussed

| Issues<br>(Rej., Obj., etc)                          | Claims/<br>Fig. #s | Prior<br>Art | Discussed                | Agreed                   | Not Agreed               |
|--|--------------------|--------------|--------------------------|--------------------------|--------------------------|
| (1) <u>Rej</u>                                       | <u>1</u>           | <u>Flynn</u> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| (2) <u>Rej</u>                                       | <u>15</u>          | <u>Flynn</u> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| (3) <u>Rej</u>                                       | <u>28</u>          | <u>Flynn</u> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| (4) <u>New</u>                                       | <u>37,38</u>       | <u>Flynn</u> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| <input type="checkbox"/> Continuation Sheet Attached |                    |              |                          |                          |                          |

#### Brief Description of Arguments to be Presented:

Amendments incorporate clarified limitations from claims 3 and 5; Applicant wants to clarify that rejections indicate that these limitations possibly are not in prior art

An interview was conducted on the above-identified application on 3/20/07.  
NOTE: This form should be completed by applicant and submitted to the examiner in advance of the interview (see MPEP § 713.01).

This application will not be delayed from issue because of applicant's failure to submit a written record of this interview. Therefore, applicant is advised to file a statement of the substance of this interview (37 CFR 1.133(b)) as soon as possible.

Jeffrey S Schubert  
Applicant/Applicant's Representative Signature

Jeffrey S Schubert  
Typed/Printed Name of Applicant or Representative

43098

Registration Number, if applicable

98  
Examiner/SPE Signature

This collection of information is required by 37 CFR 1.133. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 21 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

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Serial No. 10/733,836 Confirm. No.: 2190  
Art Unit: 3625 Examiner: Garg, Yogesh C.  
IBM Docket: AUS920030904US1(4026)

AMENDMENT OF THE CLAIMS

1. (Currently Amended) A method for aggregating an e-commerce transaction, the method comprising:  
receiving an electronic receipt, the electronic receipt describing a transaction to purchase  
a product by a purchaser from a merchant;  
5 gathering product information associated with the transaction; and  
packaging the product information with the electronic receipt and an encrypted module to  
create an aggregated package, the encrypted module to authenticate the electronic  
receipt of the e-commerce transaction.
2. (Original) The method of claim 1, further comprising transmitting the aggregated  
10 package to an email address associated with the purchaser.
3. (Currently Amended) The method of claim 1, further comprising generating the  
encrypted module to certify~~[[ing]] the transaction with a certificate of authenticity.~~
4. (Original) The method of claim 1, wherein gathering product information comprises  
determining a language selected for the product information and gathering product  
15 information in the selected language.
5. (Original) The method of claim 1, wherein gathering product information comprises  
retrieving the product information from at least one source of a group of sources  
comprising the merchant, a bank associated with the purchaser, a manufacturer associated  
with the product, a manufacturer having accessories associated with the product, and a  
20 retailer having accessories associated with the product.
6. (Original) The method of claim 5, wherein retrieving the product information comprises  
requesting the product information from the at least one source, the product information  
comprising data associated with the product, from a category of data of a group of  
categories comprising warranty information, rebate information, product registration

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information, follow-on order information, depictions of the product, specifications, manuals, accessories, links to product information, links to manufacturer web sites, links to the merchant's web site, and links to the bank's web site.

5 7. (Original) The method of claim 1, wherein packaging the product information comprises storing the electronic receipt and the product information in a format that is accessible by a personal finance manager.

8-14 (Cancelled).

10 15. (Currently Amended) An apparatus for aggregating an e-commerce transaction, the apparatus comprising:

a receipt processor, responsive to receiving an electronic receipt, the electronic receipt describing a transaction to purchase a product from a merchant by a purchaser,[[ and]] to gather product information associated with the transaction from a manufacturer associated with the product via a manufacturer application program  
15 interface based upon the electronic receipt; and

a packager to package the product information with the electronic receipt to create an aggregated package.

20 16. (Original) The apparatus of claim 15, further comprising a package transmitter to determine an email address associated with the purchaser and to transmit the aggregated package to the email address.

17. (Original) The apparatus of claim 15, further comprising a transaction authenticator to certify that funds transferred from the purchaser to the merchant for the product.

18. (Original) The apparatus of claim 15, wherein the receipt processor comprises a receipt parser to parse the electronic receipt to identify the product.

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Art Unit: 3625 Examiner: Garg, Yogesh C.  
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19. (Original) The apparatus of claim 15, wherein the receipt processor comprises an information gatherer to retrieve the product information from at least one source of a group of sources comprising the merchant, a bank associated with the purchaser, a manufacturer associated with the product, a manufacturer having accessories associated with the product, and a retailer having accessories associated with the product.

20-27 (Cancelled).

28. (Currently Amended) A machine-accessible medium containing instructions, which when executed by a machine, cause said machine to perform operations, comprising: receiving an electronic receipt from a merchant, the electronic receipt describing a transaction to purchase a product by a purchaser; gathering product information associated with the transaction from a retailer other than the merchant via a retailer application program interface; and packaging the product information with the electronic receipt to create an aggregated package.

29. (Original) The machine-accessible medium of claim 28, wherein the operations further comprise transmitting the aggregated package to an email address associated with the purchaser.

30. (Original) The machine-accessible medium of claim 28, wherein the operations further comprise certifying the transaction with a certificate of authenticity.

31. (Previously Presented) The machine-accessible medium of claim 28, wherein gathering product information comprises determining a language selected for the product information and gathering product information in the selected language.

32. (Previously Presented) The machine-accessible medium of claim 28, wherein gathering product information comprises retrieving the product information from at least one source of a group of sources comprising the merchant, a bank associated with the

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purchaser, a manufacturer associated with the product, a manufacturer having accessories associated with the product, and a retailer having accessories associated with the product.

5 33. (Previously Presented) The machine-accessible medium of claim 28, wherein retrieving the product information comprises requesting the product information from the at least one source, the product information comprising data associated with the product, from a category of data of a group of categories comprising warranty information, rebate information, product registration information, follow-on order information, depictions of the product, specifications, manuals, accessories, links to product information, links to manufacturer web sites, links to the merchant's web site, and links to the bank's web site.

10 34. (Previously Presented) The machine-accessible medium of claim 28, wherein packaging the product information comprises storing the electronic receipt and the product information in a format that is accessible by a personal finance manager.

15 35. (Previously Presented) The apparatus of claim 15, wherein the receipt processor comprises an information gatherer to request the product information from the at least one source, the product information comprising data associated with the product, from a category of data of a group of categories comprising warranty information, rebate information, product registration information, follow-on order information, depictions of the product, specifications, manuals, accessories, links to product information, links to manufacturer web sites, links to the merchant's web site, and links to the bank's web site.

20 36. (New) A method for aggregating an e-commerce transaction, the method comprising:  
receiving an electronic receipt from a merchant, the electronic receipt describing a transaction to purchase a product by a purchaser from the merchant;  
25 gathering product information associated with the transaction via a bank application program interface, wherein the product information comprises offers associated with the bank that are related to the product; and



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packaging the product information with the electronic receipt to create an aggregated package.

37. (New) A method for aggregating an e-commerce transaction, the method comprising:
- 5 receiving an electronic receipt, the electronic receipt describing a transaction to purchase a product by a purchaser from a merchant;
- generating a an encrypted module to authenticate the electronic receipt;
- gathering product information associated with the transaction; and
- 10 packaging the product information with the electronic receipt and the encrypted module to create an aggregated package.